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J1044 U.S. PTO

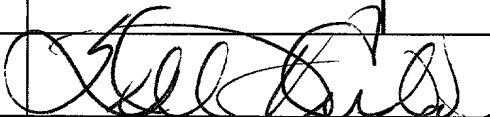
Jc973 U.S. PTO
10/086599
10/19/01

UTILITY PATENT APPLICATION TRANSMITTAL <small>Only for new nonprovisional applications under 37 CFR 1.53(b)</small>	Attorney Docket No.	P01-3685
	First Inventor	Stephen J. Sicola et al.
	Title	METHOD AND APPARATUS FOR CONTROLLING COMMUNICATIONS IN DATA STORAGE COMPLEXES
	Express Mail Label No.	EL910769662US

APPLICATION ELEMENTS	Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
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1. <input checked="" type="checkbox"/> Fee Transmittal Form (submit an original and a duplicate for fee processing)	6. <input type="checkbox"/> Application Data Sheet. (See 37 CFR 1.76)
2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
3. <input checked="" type="checkbox"/> Specification [total pages <u>61</u>] (preferred Arrangement set forth below) <ul style="list-style-type: none">- Descriptive title of the Invention- Cross References to Related Applications- Statement Regarding Fed sponsored R&D- Reference to sequence listing, a table, or a computer program listing appendix- Background of the Invention- Brief Summary of the Invention- Brief Description of the Drawings- Detailed Description- Claim(s)- Abstract of the Disclosure	8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) <ul style="list-style-type: none">a. <input type="checkbox"/> Computer Readable Formb. <input type="checkbox"/> Specification Sequence Listing on:<ul style="list-style-type: none">i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); orii. <input type="checkbox"/> paperc. <input type="checkbox"/> Statements verifying identity of above copies
4. <input checked="" type="checkbox"/> Drawing(s) [total sheets <u>14</u>]	ACCOMPANYING APPLICATION PARTS 9. <input type="checkbox"/> Assignment Papers (coversheet/document(s)) 10. <input type="checkbox"/> 37 CFR. 3.73(b) Statement <input type="checkbox"/> Power of (when there is an assignee) Attorney 11. <input type="checkbox"/> English Translation Document 12. <input checked="" type="checkbox"/> IDS & Form 1449 <input checked="" type="checkbox"/> Copies of IDS Citations 13. <input type="checkbox"/> Preliminary Amendment 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) 15. <input type="checkbox"/> Certified Copy of Priority Document(s) 16. <input type="checkbox"/> Request & Certification under 35 USC 122(b)(2)(B)(i) 17. <input checked="" type="checkbox"/> Other: Certificate of Mailing by Express Mail
5. <input checked="" type="checkbox"/> Oath or Declaration [total sheets <u>2</u>] <ul style="list-style-type: none">a. <input checked="" type="checkbox"/> Newly Unexecuted (original or copy)b. <input type="checkbox"/> Copy from prior appl. (37 C.F.R. § 1.63(d))<ul style="list-style-type: none">i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).	
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76: <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No.: <u> </u> / <u> </u> Prior application information: Examiner: <u> </u> Group/Art Unit: <u> </u> <small>FOR CONTINUATION OR DIVISIONAL APPS only. The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts</small>	

19. CORRESPONDENCE ADDRESS	
<input checked="" type="checkbox"/> Customer Number or Bar Code Label 25235 or <input type="checkbox"/> Correspondence address below	
	
Name	
Address	
City	State
Country	Telephone
ZIP	Fax

Name (Print/Type)	William J. Kubida	Registration No.	29,664
(Signature)		Date	19 October 2001

FEE TRANSMITTAL for FY 2001

Complete if Known

Application Number -----
Filing Date Herewith
First Named Inventor Stephen J. Sicola et al.
Examiner Name
Group / Art Unit
Attorney Docket No. P01-3685

TOTAL AMOUNT OF PAYMENT (\$) (\$) 740.00

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit
Account
Number

50-1123

Deposit
Account
Name

Hogan & Hartson L.L.P.

- ☒ Charge Any Additional Fee Required Under 37 CFR § 1.16 and 1.17
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Money Order ☐ Other

FEE CALCULATION

4. BASIC FILING FEE

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
740	370	Utility Filing Fee	740.00
330	165	Design filing fee	
510	255	Plant filing fee	
740	370	Reissue filing fee	
160	80	Provisional filing fee	

SUBTOTAL (1) (\$) 740.00

2. EXTRA CLAIM FEES

		Extra Claims		Fee from below	Fee Paid
Total Claims	16	-20**=	0	X	= 0
Independent Claims	2	-3**=	0	X	= 0
Multiple Dependent					= 0

**or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code	Small Entity Fee Code	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	**Reissue independent claims over original patent
110 18	210 9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) .00

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	For filing a request for ex parte reexamination	
920*	920*	Requesting publication of SIR prior to Examiner action	
1,840*	1,840*	Requesting publication of SIR after Examiner action	
110	55	Extension for reply within first month	
400	200	Extension for reply within second month	
920	460	Extension for reply within third month	
1,440	720	Extension for reply within fourth month	
1,960	980	Extension for reply within fifth month	
310	155	Notice of Appeal	
310	155	Filing a brief in support of an appeal	
270	135	Request for oral hearing	
1,510	1,510	Petition to institute a public use proceeding	
110	55	Petition to revive - unavoidable	
1,240	620	Petition to revive - unintentional	
1,240	620	Utility issue fee (or reissue)	
440	220	Design issue fee	
600	300	Plant issue fee	
130	130	Petitions to the Commissioner	
50	50	Processing fee under 37 CFR 1.17(q)	
180	180	Submission of Information Disclosure Stmt	
40	40	Recording each patent assignment per property (times number of properties)	
710	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
710	355	For each additional invention to be examined (37 CFR § 1.129(b))	
710	355	Request for Continued Examination	
900	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid SUBTOTAL (3)

(\$)

SUBMITTED BY

Name William J. Kubida
(Print/Type)
Signature

Registration No (Attorney/Agent) 29,664

Complete (if applicable)

Telephone (719) 448-5900

Date

19 October 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Stephen J. Sicola, Bruce Sardeson, Dennis Spicher, Bruce
Roberts, and Bill Pagano

Group Art Unit: _____

Examiner: _____

Serial No. _____

Filed: Herewith

For: METHOD AND APPARATUS FOR CONTROLLING
COMMUNICATIONS IN DATA STORAGE COMPLEXES

CERTIFICATE OF MAILING BY EXPRESS MAIL

BOX PATENT APPLICATION

Assistant Commissioner of Patents and Trademarks
Washington, D.C. 20231

Sir:

The undersigned hereby certifies that the following documents:

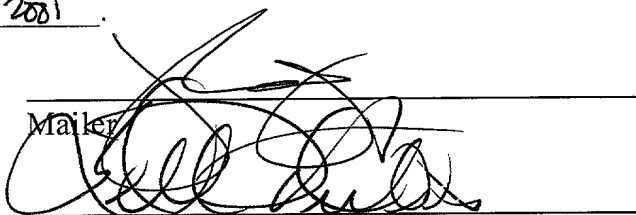
1. Utility Patent Application Transmittal;
2. Fee Transmittal and \$ 740 filing fee;
3. Utility Patent Application;
4. Unexecuted Declaration;
5. 14 sheets of drawings;
6. Information Disclosure Statement, Form PTO-1449,
photocopies of 5 references;
7. Return postcard; and
8. Certificate of Mailing By Express Mail

relating to the above application, were deposited as "Express Mail", Mailing Label No. EL910769662US
with the United States Postal Service, addressed to The Commissioner of Patents and Trademarks,
Washington, D.C., 20231, 19 October 2001.

19 October 2001
Date

19 October 2001
Date

Mail by



William J. Kubida, Reg. No. 29,664
Hogan & Hartson LLP
One Tabor Center
1200 17th Street, Suite 1500
Denver, Colorado 80202
Tel (719) 448-5909
Fax (303) 899-7333